

Employment and Training Administration Advisory System U.S. Department of Labor Washington, D.C. 20210	<p>CLASSIFICATION Reporting/WIASRD & Annual Report</p> <p>CORRESPONDENCE SYMBOL PRO</p> <p>DATE November 13, 2003</p>
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ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 14-03

TO: ALL STATE WORKFORCE LIAISONS
ALL STATE WORKFORCE AGENCIES
/S/

FROM: EMILY STOVER DeROCCO
Assistant Secretary

SUBJECT: Performance Reporting Submission Procedures for the Workforce Investment Act Standardized Record Data (WIASRD) and the Annual Report under Title 1B of the Workforce Investment Act (WIA)

1. Purpose. To transmit guidance and instructions for submitting WIA Annual Reports and the WIASRD for Program Year 2002 (July 1, 2002, through June 30, 2003) as required under the Act. To inform the system of adjustments to the Program Year 2003 reporting cycle.

2. References. Workforce Investment Act of 1998 Section 136; 20 Code of Federal Regulations 667.300; President's Management Agenda, http://www.whitehouse.gov/omb/budgetintegration/pma_index.html; Training and Employment Guidance Letter (TEGL) 7-01 and TEGL 7-01, Change 1 "Performance Reporting Submission Procedures for the Workforce Investment Act Standardized Record Data (WIASRD) and the Annual Report under Title IB of the Workforce Investment Act (WIA);" TEGL 14-00, Change 1 "Guidance on the Workforce Investment Act (WIA) Management Information and Reporting System;" OMB Circular No. A-94 "Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs;" TEGL No. 7-99, "Core and Customer Satisfaction Performance Measures for the Workforce Investment System;" and TEGL No. 8-99, "Negotiating Performance Goals; and Incentives and Sanctions Process under Title I of the Workforce Investment Act (WIA)."

3. Background. WIA Section 136 requires that states submit annual performance reports to the Secretary of Labor, and 20 CFR 667.300 specifies that, "All states and other direct grant recipients must report financial, participant, and performance data in accordance with instructions issued by DOL." The President's Management Agenda, which was announced in 2001, underscores the importance of timely receipt of performance information. This agenda sets forth a goal of performance and budget

integration to help improve the management and performance of the Federal government. To this end, the Employment and Training Administration (ETA) uses states' WIA performance information during the budget process, so information submitted by states via the WIA Annual Reports ultimately influences the Department's budget requests for WIA Adult, Dislocated Worker, and Youth programs. Thus, it is imperative that ETA receives states' annual performance information in a timely manner in order to make informed budget decisions.

RESCISSIONS	EXPIRATION DATE
TEGL 7-01 and TEGL 7-01, Change 1	Continuing

4. WIA Annual Report for Program Year (PY) 2002. For performance during PY 2002, the WIA Annual Report instructions are revised as follows. These instructions supersede those found in TEGL 7-01 and TEGL 7-01, Change 1.

a. Due Date. The due date for states' PY 2002 WIA Annual Reports is December 1, 2003. In order to be considered as having submitted a timely annual report, states must submit data (Tables A through O) via ETA's online Enterprise Information Management System (EIMS) and Annual Report narrative information via electronic mail or mail to the addresses in section 4.e. by this date.

b. Contents of the Annual Report. A complete Annual Report consists of: 1) the required performance data; and, 2) the narrative portion that contains required information on state evaluations of workforce investment activities and the cost of these activities relative to their effect, as well as the optional portions that make up the "Report to Stockholders."

1. Required Annual Report Data. For PY 2002, states must submit the required data portions of the WIA Annual Report to reflect four quarters of performance activity. These will be shown on Tables A through O, (outlined in Attachment G of TEGL 14-00, Change 1, which is available online at <http://wdr.doleta.gov/directives/>) and submitted electronically, via the EIMS. Submitting data through EIMS will meet the reporting requirement; states do not need to submit hard copies of the data. The procedures for electronically submitting state annual report data (Tables A-O) mirrors the procedures for submitting state WIA Quarterly Reports. Instructions for submitting the table data, either by manual data entry or by automatic upload, are included in the WIA Annual Report Data System User's Guide, which is available online at (<http://www.doleta.gov/usworkforce/performance/>). Technical assistance is also available through the appropriate Regional Office.

In order to ensure the accuracy of Annual Report data, the automated system has built-in edit checks throughout Tables A through O. When a state submits its Annual Report data, the EIMS sends a notification to the state if it has not met all of the requirements set forth by the edit checks. States are able to return to the data submission site to correct these problems, but *cannot certify final data, and the report will not be considered to be submitted,*

until all edit checks are met. The edit checks used within the system are provided in Attachment D to the WIA Annual Report Data System User's Guide, which is available online at <http://www.doleta.gov/usworkforce/performance/>.

2. Required Narrative Portions and the Optional "Report to Stockholders." The two required portions of the Annual Report describe the cost relative to the effect of WIA programs and provide an update on the status of state evaluations of workforce investment activities. There is no specific required format for these portions of the report. With regard to the cost relative to effect portion, states may use the format found in Attachment H to TEGL 14-00, Change 1 (available online at <http://wdr.doleta.gov/directives/>) to submit this information. States may also consult OMB Circular No. A-94, "Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs," when completing this portion of the Annual Report. This circular is available online at <http://www.whitehouse.gov/omb/circulars/index.html>.

Attachment G to Change 1 of TEGL 14-00 describes additional optional Annual Report information as the "Report to Stockholders." These reports are not required, but are valuable tools that the states and the Department can use to showcase success stories and describe the year's events in the workforce system. The Department will post these narratives, along with data submitted through EIMS, to its public Web site in order to share experiences and the best practices described in the reports, and the performance of states as described in Tables A through O.

c. Complete Annual Reports. Only states that submit complete reports by December 1, 2003, and that meet the performance criteria described in TEGL 8-99, will be considered for an incentive award. Complete reports contain four quarters of the required performance data, as well as the two required narrative portions on cost relative to effect and evaluations of workforce activities. States that do not submit required portions of data and narrative by December 1, 2003, will not be eligible for incentive grants, regardless of performance outcomes.

In order for a state to certify its data and be considered as having submitted complete data, the data must meet the following three conditions: 1) *all data from Tables A through O have been submitted*; 2) *four quarters of outcome information have been submitted for all measures*; and, 3) *all edit checks built into EIMS have been met.* In order to meet the criteria for complete data, including that a state addresses issues signaled by the EIMS edit checks, states are strongly encouraged to begin the submission process well in advance of the December 1, 2003, deadline. States that cannot report the four quarters of data for the exit periods required by the performance indicators (see Attachment I) by December 1, 2003, must electronically notify the Performance and Results Office (WIA.AR@dol.gov) and copy the appropriate ETA Regional Office as soon as possible, but no later than November 21, 2003. This request should include an explanation of why complete data from wage records are not available by December 1. If the state's explanation is received by November 21, 2003, the state will be allowed to submit the incomplete data as its Annual Report and will

not be subject to a sanction solely on the basis of submitting an incomplete report. However, submission of data for less than four quarters of information will disqualify the state from eligibility for incentive grants.

A state that does not submit a complete Annual Report by January 14, 2004, will be considered in violation of its reporting requirements and may be subject to a sanction (see WIA Section 136(g)(1)(B)).

ETA will use complete data reported by December 1, 2003, to prepare performance summaries and other reports, including the Report to Congress required by WIA Section 136. Consequently, states that do not report by the due date will have their data shown as missing.

d. Time Periods for Reporting Performance. Attachment I contains the time periods to be used for reporting performance and other items in the PY 2002 Annual Report; these are the same as explained in previous guidance.

e. Submitting the WIA Annual Report. These procedures supersede those in TEGL 7-01, Change 1. As stated above, all states must submit the required Tables A through O through EIMS, the evaluation narrative, cost relative to effect narrative, and the optional "Report to Stockholders" narrative by December 1, 2003. The Department will provide Congress with a copy of the Annual Report submitted by each state and publish each state's report on its Web site at <http://www.doleta.gov/usworkforce/performance/>. States should provide ETA with three copies of the narrative portions of the report.

Send these copies to:
U.S. Department of Labor
Employment and Training Administration
Attn: Eric Johnson, Performance and Results Office
200 Constitution Avenue, NW
Room N-5309
Washington, D.C. 20210

In addition to the hard copies, an electronic copy of the report will be needed for posting on ETA's Web site. Acceptable formats include Microsoft Word, WordPerfect, Acrobat, and other commonly used formats. States should send the single annual report file as an e-mail attachment to WIA.AR@dol.gov or by mail on a disk to the above address by December 1, 2003.

Individuals designated to submit their states' quarterly performance data have access to submit the Annual Report data. If a state intends to use another person, please contact Ms. Amanda Ahlstrand at (202) 693-3052 or ahlstrand.amanda@dol.gov by November 21, 2003, to designate the person who will submit and certify the state's Annual Report. This individual will be granted password access to the EIMS.

5. Submission of WIA Standard Record Data (WIASRD).

a. Due Date. The WIASRD for PY 2002 is due by January 14, 2004. This date is the final due date, and revisions will not be accepted after the established due date.

b. Contents of the Submission. The WIASRD submission must include records for all exiters from PY 2000, PY 2001, and PY 2002. Records for PY 2000 and PY 2001 exiters are required so that complete outcome information is obtained.

The process for submitting the WIASRD is changed for PY 2002. The WIASRD should be submitted to ETA through EIMS via the instructions available through the appropriate Regional Office or the ETA performance website (<http://www.doleta.gov/usworkforce/performance/>). Only data that are formatted correctly will be accepted by EIMS. In particular, the EIMS will check only for invalid codes within each field. It will allow missing data in all fields except for the individual identifier, WIB/statewide code, registration date, and exit date fields (WIASRD items 101, 301, 302, and 303, respectively). Additionally, at least one funding stream code must be positive. That is, at least one of the following fields must contain a "1" ("yes") code: adult (local), dislocated worker (local), youth (local), displaced homemaker (statewide), incumbent worker (statewide), other (statewide), or national emergency grant (items, 304, 305, 306, 307, 308, 309, 310, or 313a, 313b, or 313c). EIMS will notify the state whether its data meet the format requirements once the state attempts to upload the data. States must submit all WIASRD records in the correct format by January 14, 2004, in order to be considered as meeting the reporting deadline.

EIMS will not check for consistency across multiple fields (other than the funding stream), and will not check for state level outliers. States are responsible for assuring that their WIASRD files are accurate and complete. To assure the accuracy of the data, states should run the updated Edit and Report Software on their WIASRD prior to submitting it to ETA. The updated software, written by Social Policy Research Associates (SPRA), is available for download by visiting <http://www.doleta.gov/usworkforce/performance/>. The edits and outliers included in the SPRA software are much more extensive than those that will be applied by EIMS. Attachment II describes common reporting issues in the WIASRD and provides completeness criteria for specific WIASRD items. SPRA, as ETA's contractor, will be available to provide technical assistance with the software and the WIASRD preparation. States that need assistance to address issues raised by the software should contact Mr. David Wright at SPRA (david_wright@spra.com). Technical assistance with the WIASRD submission is also available by contacting PRO (WIA.AR@dol.gov) or the appropriate ETA Regional Office performance specialist.

6. Revisions to WIA Annual Report for PY 2003 (TEGL 14-00, Change 1). In order to fulfill the Department's responsibilities to report to the Congress on the financial and performance results of Federal programs in a timely way and to inform budget decisions, the PY 2003 WIA Annual Report due date and time periods reported are revised as outlined below. Instructions for the PY 2003 Annual Report will be distributed after submission of the PY 2002 Annual Reports is completed.

a. Due Date. The due date of the PY 2003 Annual Report is changed to the October 1 following the end of the program year. Thus, the PY 2003 report will be due October 1, 2004.

b. Time Periods for Performance Measures. The time periods (exit cohorts) for reporting the performance measures and other information in the Annual Report are also revised for three reasons: (1) to allow all states to report the same full four quarters of data for a given performance measure, (2) to provide ETA with the most recent complete information available for each performance measure, and (3) to enable states to meet the new reporting timeline. The revised reporting periods are shown below:

Performance Measure or Reporting Item	Time period (Exit Cohort) to Be Used for PY 2003 Annual Report
Total Participants	The four quarters from July 1, 2003, through June 30, 2004
Exiters Younger Youth Diploma or Equivalent Rate Younger Youth Skill Attainment Rate	The four quarters from April 1, 2003, through March 31, 2004
Participant Customer Satisfaction Employer Customer Satisfaction	The four quarters from January 1, 2003, through December 31, 2003
Entered Employment Employment and Credential Credential	The four quarters from October 1, 2002, through September 30, 2003
Employment Retention Earnings Change/Replacement in Six Months Younger Youth Retention	The four quarters from April 1, 2002, through March 31, 2003
12-month Employment Retention 12-month Earnings Change/Replacement	The four quarters from October 1, 2001, through September 30, 2002

States should note that, unlike the current reporting system, the exit time periods to be used for reporting entered employment differ from those to be used for reporting retention and earnings change/replacement.

7. Action Required. States are requested to distribute this information to the appropriate state and local staff.

8. Inquiries. Questions concerning this issuance may be directed to the Performance and Results Office (wia.ar@dol.gov).

9. Attachments.

- I. Time Periods to be reported in the WIA Annual Reports for PY 2002 and PY 2003
- II. Common Reporting Issues in the WIASRD